| | UNITE | D STATES SE FOR ANNU | | | | | | | | |
|--|--|--|------------------------------|-----------------|-----------------------------------|---|---|---------------------------------|---------------------|------------------|
| Last Name | | First Name and Middle Init | | | Annual Report | CLI OILIO | Senate Office / Agency in W | hich Employed | | |
| Harkin | | Thomas R. | | | Calendar Year Cov | vered by Report: | United States Senat | | | |
| Senate Office Address (Number, Street, C | ity, State, and ZIP Code) | Senate Office Telephone N | Number (Include Area | Code) | Termination Report | | Prior Office / Agency in Whi | ch Employed | | |
| Senate Hart #731 Washington | , DC 20510 | 202-224-3254 | | | Termination Date | (mm/dd/yy): | | | | |
| AFTER READING T | HE INSTRUCT | IONS - ANSW | ER EACH (| OF TH | ESE QUE | STIONS AN | ID ATTACH THE | RELEVA | NT PA | \RT |
| | | | YES NO | | | 2 | | | YES | NO |
| Did any individual or organization paying you for a speech, appeara If Yes, Complete and Attach PAR | ance, or article in the re T I. | eporting period? | × | reimb from o | ursements for tr ne source)? | , or dependent che avel in the report Attach PART VI. | hild receive any reportat ting period (i.e., worth m | ole travel or ore than \$335 | | X |
| Did you or your spouse have earn investment income of more than seporting period? If Yes, Complete and Attach PAR | ₿200 from any reporta T II. | ble source in the | × | Did yo | u, your spouse, 10,000) during | | nild have any reportable iod? | liability (more | | × |
| Did you, your spouse, or depende more than \$1,000 at the end of th investment income of more than \$ If Yes, Complete & Attach PART | e period, or receive ur \$200 in the reporting p | nearned or | × | currer | t calendar year | ortable positions of ? Attach PART VII | on or before the date of | filing in the | | × |
| Did you, your spouse, or depende reportable asset worth more than If Yes, Complete and Attach PAR | \$1,000 in the reporting T IV. | g period? | × | entity? | 1 | ortable agreemen | nt or arrangement with a | n outside | | X |
| Did you, your spouse, or depende reporting period (i.e., aggregating exempt)? If Yes, Complete and Attach PAR | more than \$335 and i | portable gift in the not otherwise | × | \$5,000 |) from a single s | <u>leport:</u> Did you re source in the <u>two</u> Attach PART X. | eceive compensation of prior years? | more than | | |
| The second secon | and british Ass. Sec. 12. | answered an | d the appr | opria | e PART at | tached for | each "YES" res | | | e e |
| File this report and any an Senate, Washington, DC 2 | nendments with | the Secretary of | the Senate (| Office | of Public Re | cords, Room | 232, Hart Senate | Office Build | <u>必</u> i險, U.: | s. |
| This Financial Disclosure State by the Office of the Secretary of on Ethics. Any individual who criminal sanctions. (See 5 U.S. | ement is required by of the Senate to any knowingly and willfu | the Ethics in Gove requesting person lly falsifies, or who | rnment Act of upon written a | 1978, as | amended. T | raviawad by the | Coloot Committee | Do Not Write | ALUSE Bellow th | ONLY nis Line |
| Certification | | Signature of Repo | | | | Date (M | lonth, Day, Year) | | E 3 | |
| I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief. | | | | | | , | 6/10 | 1:47 | | |
| It is the Opinion of # | Fo | r Official Use Only - Do | Not Write Below | v This Lin | е | | | , , | m.p. | |
| It is the Opinion of the reviewer that the statements made in this form are it is impliance with Title I of the Ethic in Government Act. | | Signature of Revi | ewing Official | | | Date (M | onth, Day, Year) | | • | |
| | | | | | | | | | | |

| Reporting | Individual's | Name |
|-----------|--------------|------|

PART II. EARNED AND NON-INVESTMENT INCOME

Page Number

2

Report the source (name and address), type, and amount of earned income to you from any source aggregating \$200 or more during the reporting period. For your spouse, report the source (name and address) and type of earned income which aggregate \$1,000 or more during the reporting period. No amount needs to be specified for your spouse. (See p.3, CONTENTS OF REPORTS Part B of Instructions.) Do not report income from employment by the U.S. Government for you or your spouse.

Individuals not covered by the Honoraria Ban:

For you and /or your spouse, report honoraria income received which aggregates \$200 or more by exact amount, give the date of, and describe the activity (speech, appearance or article) generating such honoraria payment. Do not include payments in lieu of honoraria reported on Part I.

| Name of Income Source | Address (City, State) | Type of Income | Amount |
|---|-----------------------|----------------------|--------------|
| Example: JP Computers | Wash., DC Example | Salary Example | \$15,000 |
| MCI (Spouse) | Arlington, VA Example | Salary Example | Over \$1,000 |
| 1 ConocoPhillips (Spouse) | Houston, TX | Salary (includes | Over \$1,000 |
| 2 | | contractual right to | |
| 3 | | receive stock in | |
| 4 | | the future) | |
| ⁵ United Technologies Corp. (Spouse) | Washington, D.C. | Salary and pension | Over \$1,000 |
| 6 | | (salary includes | |
| | | contractual right to | |
| 8 | | purchase stock in | |
| 9- | | the future) | 3 |
| AbitbiBowater, Inc. (Spouse) | Montreal, Canada | Salary (includes | Over \$1,000 |
| 1 | | contractual right to | |
| 2 | | receive stock in | |
| 3 | | the future) | |

| Reporting Individual's Name Thomas R. Harkin | | PA | ۱R | T II | IA. | P | UB | LIC | CLY | TF | RA | DE | D. | AS | SE | :TS | S A | NE |) U | NE | EARNI | ΞD | IN | CC | M | E S | 30 | UR | CE | S | | Pag | e Number |
|---|---|-----------------------------|--------------------|---------------------|----------------------|-----------------------|-----------------------|-------------------------|---------------------------|----------------------------|-----------------------------|-------------------|------|-----------|----------|----------|---------------|--------------------------|------------------|-----------------------|--|---------------------------|-----------------|--------------------|-----------------------|--------------------|---------------------|----------------------|-------------------------|---------------------|---------------------------|------------------|--|
| BLOCK A Identity of Publicly Traded Asso And Unearned Income Source Report the complete name of each po | s ublicly | | | At | Value the conf Non | lationse e, or | of rep less t | f As | g per \$1,00 | iod. | | | | lf " | None | e (or | less inc | thar | n \$20 es inc |)1)" i | ype and seconds of the contract of the contrac | d Ai | othe | i nt ren | of I try is | nee | ded | in Bl | lock (| C for | that | item | |
| traded asset held by you, your spous your dependent child, (See p.3, | e, or | | | | 01.1 | JON W | | J. 0011 | | | | | | | • | Тур | e o | f In | con | 1e | | | | | | Am | oui | nt o | f In | con | 1e | | |
| CONTENTS OF REPORTS Part B of Instructions) for production of income investment which: (1) had a value exceeding \$1,000 a close of the reporting period; and (2) generated over \$200 in "unearn income during the reporting period Include on this PART IIIA a complete identification of each public bond, murfund, publicly traded partnership interexcepted investment funds, bank accounts, excepted and qualified blin trusts, and publicly traded assets of a teleroment plan. | or t the /or ed" d. tual est, | None (or less than \$1,001) | \$1,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$250,000 | \$250,001 - \$500,000 | \$500,001 - \$1,000,000 | \$1,000,001 - \$5,000,000 | \$5,000,001 - \$25,000,000 | \$25,000,001 - \$50,000,000 | Over \$50,000,000 | None | Dividends | Rent | Interest | Capital Gains | Excepted Investment Fund | Excepted Trust | Qualified Blind Trust | Other (Specify Type) | None (or less than \$201) | \$201 - \$1,000 | \$1,001 - \$2,500 | \$2,501 - \$5,000 | \$5,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$1,000,000 | Over \$1,000,000*** | \$1,000,001 - \$5,000,000 | Over \$5,000,000 | Actual Amount Required if "Other" Specified |
| S, IBM Corp. (stock) | | | | | x | + | \top | + | ╁╴ | t | | | | x | | | | | | | Example | | х | | | | | | | | - | | Example |
| example: DC, or J (S) Keystone Fund | | | | | | x | | | | | | | | | <u> </u> | | | Х | | | Example | Х | | | | | | | \neg | | \dashv | | Example |
| J Amgen | _ | | × | | | | | | | | | | × | | | | | : | | | | | | | | | | en de | | | | | |
| 2 J BP PLC Spons ADR | | | × | | | | | | T | | | | | × | | | | | | | | | × | | | | | | | | | | |
| 3 J Berkshire Hathaway Inc. Clas | s B | | × | | | | | | | | | | × | | | | | | | | | | | | | | | | | | | | |
| 4 J Cisco Sys, Inc. | | | x | | | | | j. Je v | 1 | | | | × | | | | | | | | , | | | | | | | | | | | | |
| 5 J Dell, Inc. | | | x | | | | | | | | | | × | | | | | | | | | | | | | | | | | | | | |
| 6 J Genentech, Inc | | × | | | | | | | | | | | | | | | x | | | | | | | × | | | | | | | | | |
| 7 J Home Depot, Inc. | | | × | | | | | | | | | | | × | | | | | | | | × | | | | | | | | | | | |
| 8 J j intel, Inc. | | | × | | | | | | | 100 | | | | × | | | | | | | | × | | | | | | | | | 1 | | |
| 9 J Johnson and Johnson | | | | | × | | 1 | | | | | | | × | | | | | | | | | | × | | | | | | | 1 | 1 | |
| 10 J Microsoft | | \exists | × | \neg | | | | 1 | T | | | | | x | | | | | | 1 | | y | | | \dashv | | | | \dashv | + | \dashv | + | |

| Reporting | Individ | dual's Na | me |
|-----------|---------|-----------|----|
| | | | |
| Thoma | s R | Harkin | n |

PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Type of Income

Page Number

4

| 1.81 | BLOCK A |
|--------|-------------------------------|
| Identi | ity of Publicly Traded Assets |
| | Unearned Income Sources |

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, CONTENTS OF REPORTS Part B of Instructions) for production of income or Investment which:

BLOCK B Valuation of Assets

At the close of reporting period. If None, or less than \$1,001, Check the first column.

BLOCK C Type and Amount of Income

If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

Amount of Income

| Instructions) for production of income or investment which: (1) had a value exceeding \$1,000 at the close of the reporting period; and/or (2) generated over \$200 in "unearned" income during the reporting period. Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan. | None (or less than \$1,001) | \$1,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$250,000 | \$250,001 - \$500,000 | \$500,001 - \$1,000,000 | Over \$1,000,000*** | \$1,000,001 - \$5,000,000 | \$5,000,001 - \$25,000,000 | \$25,000,001 - \$50,000,000 | Over \$50,000,000 | None | Dividends | Rent | Interest | Capital Gains | Excepted Investment Fund | Excepted Trust | Qualified Blind Trust | Other (Specify Type) | None (or less than \$201) | \$201 - \$1,000 | \$1,001 - \$2,500 | \$2,501 - \$5,000 | \$5,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$1,000,000 | Över \$1,000,000*** | \$1,000,001 - \$5,000,000 | Over \$5,000,000 | Actual Amount Required if "Other" Specified |
|--|-----------------------------|--------------------|---------------------|----------------------|-----------------------|-----------------------|-------------------------|---------------------|---------------------------|----------------------------|-----------------------------|-------------------|------|-----------|------|----------|---------------|--------------------------|----------------|-----------------------|----------------------------|---------------------------|-----------------|-------------------|-------------------|--------------------|---------------------|----------------------|-------------------------|---------------------|---------------------------|------------------|--|
| S, IBM Corp. (stock) | | | | X | | | | | | | | | | Х | | | | | | | Example | | х | | | | | | | | | | Example |
| or J (S) Keystone Fund | | | | | Х | | | | | | | | | | | | | Х | | | Example | Х | | | | | | | | | | | Example |
| 1 J Pepsico, Inc. | | x | | | | | | | | | | | | × | | | | | | | | × | | | | | | | | | | | |
| 2 J Procter & Gamble | | × | | | | | | | | | | | × | | | | | | | | | | | | | | | | _ | | | | |
| 3 J Walt Disney | | × | | | | | | | | | | | | × | | | | | | | | × | | | | | | | | | | N. J. | |
| 4 J Citibank NA Bank Deposit Program | | × | | | | | | | | | | | | | | × | | | | | 7 2 | × | | | | | | | | | | 7 V M | |
| 5 J Western Asset Money Market Fund Class A | | × | | | | | | | | | | | | × | | | | | | | | × | | | | | | | | | | | |
| 6 J Citibank NA South Dakota Bank Deposit Program | | × | | | | | | | | | | | | | | × | | | | | | × | | | | | | | | | | | |
| 7 Citibank NA Bank Deposit Program (IRA) | | × | | | | | | | | | | | | | | × | | | | | | × | | | | | | | | | | | |
| 8 Fidelity Advisor Midcap Fund | | × | | | | | | | | | | | | | | | | × | | | | × | | | | _ | \dashv | | | | | | |
| 9 Fidelity Advisor Overseas Fund | | × | | | | | | | | | | | | | Г | | | × | | | | x | | | | | \dashv | \exists | | | | | |
| Principal Financial Group | | x | | | | | | | | | | | | × | | | | | | , | , | × | 7 | | | | | | | | 1 | | |

| Reporting | Individ | lual's | Name |
|-----------|---------|--------|------|
| Thoma | s R. | Hai | kin |

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10 S

Ivy Ltd.-Term BD FD CL C

Ivy Asset Strategy Fund Class C

PIMCO All Asset All Auth. FD CL C

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PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Page Number

5

X

| BLOCK A Identity of Publicly Traded Assets And Unearned Income Sources | | | | Val the | u at close | | of a | Ass rting | peri | od. | | | | lf " | None | e (or | | | |)1)" i | ype and s Checked received | d A ı I, no | othe | unt er en | of l | s nee | eded | l in B | | | | t iten | n. This |
|--|-----------------------------|----------------|---------------------|------------|----------------------|-----------------------|------|---------------------|----------|----------------------------|-----------------------------|-------------------|--------|-----------|------|----------|---|--------------|-----|--------|----------------------------------|---------------------------|-----------------|--------------|-------------------|-------|----------|--------|----------|------|------------------|------------------|--|
| Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, CONTENTS OF REPORTS Part B of Instructions) for production of income or investment which: (1) had a value exceeding \$1,000 at the close of the reporting period; and/or (2) generated over \$200 in "unearned" income during the reporting period. Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a | None (or less than \$1,001) | | \$15,001 - \$50,000 | Ch | | \$250,001 - \$500,000 | | | | \$5,000,001 - \$25,000,000 | \$25,000,001 - \$50,000,000 | Over \$50,000,000 | None | Dividends | | Type | | f Ind | con | Trust | Other (Specify Type) | None (or less than \$201) | \$201 - \$1,000 | | \$2,501 - \$5,000 | Am | nou | int o | of Im | lcor | m e 000°C | Over \$5,000,000 | Actual Amount Required if "Other" Specified |
| retirement planS, IBM Corp. (stock) | F | , , | 97 | X | 67 | 97 | 67 | Ĕ | 97 | 97 | 97 | | Ľ | + | _ | | - | - | | | Example | | X | 87 | 97 | 97 | ٣ | +" | ٣ | H | - | | Example |
| Example: DC, or J (S) Keystone Fund | | | - | Ĥ | х | | | | \vdash | - | \vdash | | $\ -$ | X | - | <u> </u> | | _x | | | Example | х | ┝ | | ├ | | \vdash | + | \vdash | + | ╁┤ | | Example |
| 1 S ConocoPhillips Corp. | | | | | | | × | | | | | | | × | | | × | | | | | | | | | | T | | × | | | | |
| 2 \$ 1st Century Bancshares, Inc. | | | | × | | | | | | | | | × | | | | | | | | | | | | | | T | | | | | | |
| 3 S United Technologies Corp. | | | | | | | | × | | | | | | × | | | | | | | | | | | | | × | | | | | | |
| 4 S Principal Financial | | | × | | | | | | | | | | | × | | | | | | | | | | × | | | Γ | | | | | | |
| 5 S Xcel Corp. | | × | | | | | | | | | | | | × | | | | | | | | × | | | | | | | | | | | |
| 6 S Citibank NA S. Dakota Bank Dep. Prog. | | | × | | | | | | | | | | | | | × | | | | | | × | | | | | T | | | | П | | |
| 7 S Western Asset Inst. Muni. Mkt. Fund | | | | | | × | | | | | | | | | | | | × | | | | | | × | Г | | T | | | | | | |

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

*** This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

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| Reporting | Ind | İν | idua | ľs | Name |
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Example: DC.

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PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Page Number

6

BLOCK A Identity of Publicly Traded Assets And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3. CONTENTS OF REPORTS Part B of Instructions) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or
- (2) generated over \$200 in "unearned" income during the reporting period. Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

BLOCK B Valuation of Assets

At the close of reporting period. If None, or less than \$1,001. Check the first column

BLOCK C Type and Amount of Income

If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

| ass | et held by you, your spouse, or | | | | CI | neck | the 1 | first o | colun | nn. | | | | | | 7 | Гур | e of | Inc | om | ie | | | | | | Am | our | nt o | f In | con | ne | | |
|---|--|-----------------------------|--------------------|---------------------|----------------------|-----------------------|-----------------------|-------------------------|---------------------|---------------------------|----------------------------|-----------------------------|-------------------|------|-----------|------|----------|---------------|--------------------------|----------------|-----------------------|----------------------------|---------------------------|-----------------|-------------------|-------------------|--------------------|---------------------|----------------------|-------------------------|---------------------|---------------------------|------------------|--|
| ENT ionsi nent ad a se co ener on atio atio dir ts, e | ndent child, (See p.3, IS OF REPORTS Part B of s) for production of income or which: It value exceeding \$1,000 at the of the reporting period; and/or rated over \$200 in "unearned" during the reporting period. This PART IIIA a complete on of each public bond, mutual cly traded partnership interest, investment funds, bank excepted and qualified blind publicly traded assets of a plan. | None (or less than \$1,001) | \$1,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$250,000 | \$250,001 - \$500,000 | \$500,001 - \$1,000,000 | Over \$1,000,000*** | \$1,000,001 - \$5,000,000 | \$5,000,001 - \$25,000,000 | \$25,000,001 - \$50,000,000 | Over \$50,000,000 | None | Dividends | Rent | Interest | Capital Gains | Excepted Investment Fund | Excepted Trust | Qualified Blind Trust | Other (Specify Type) | None (or less than \$201) | \$201 - \$1,000 | \$1,001 - \$2,500 | \$2,501 - \$5,000 | \$5,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$1,000,000 | Over \$1,000,000*** | \$1,000,001 - \$5,000,000 | Over \$5,000,000 | Actual Amount Required if "Other" Specified |
| S, DC | IBM Corp. (stock) | | | ┪ | х | | | | | | | | | П | ·X | | | | | | | Example | | Х | | | | | | | | | | Example |
| or J | | | | | | Х | | | | | | | | | | | | | Х | | | Example | Х | | | | | | | | | | | Example |
|] v | Vest Des Moines State Bank SEP | | | | × | | | | | | | | | | | | × | | | | | | | × | | | | | | | | | | |
|] v | Vest Des Moines State Bank | | | | × | | | | | | | | | | | | × | | | | | | | | × | | | | | | | | | |
|] L | PL Cash, Insured Cash Account | | | | | × | | | | | | | | | | | x | | | | | | × | | | | | | | | | | | |
|] c | entral Fund of Canada Ltd. CL A CEF | | | × | | | | | | | | | | | | | | | × | | | | × | | | | | | | | | | | |
| ls | hares S&P N. American Nat. Res. Index | | | | × | | | | | | | | | | | | | | × | | | | | × | | | | | | | | | | |
| ls | hares Dow Jones Select | | | | × | | | | | | | | | | | | | | × | | | | | | | × | | | | | | | | |
| Is | hares Aggregate Bond Fund | | | | × | | | | | | | | | | | | | | × | | | | | | | | x | | | | | | | |
| Isl | hares Tr. S&P Sm. Cap 600 Value Index | | | | × | | | | | | | | | | | | | | × | | | | | | × | | | | | | | | | |
| Is | hares S&P Sm. Cap 600 Growth Index | | | | × | | | | | | | | | | | | | | × | | | | | × | | | | | | | | | | |
| ls | hares Trust Barclay's TIPS | | | × | | | | | | | | | | | | | | | × | | | | | | × | | | | | | | | | , |
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PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Page Number

| er i de filo | 02001171 |
|--------------|------------------------------|
| Identif | ly of Publicly Traded Assets |
| And | Unearned Income Sources |

Report the complete name of each publicly you CO Insi inv

- Inc ide fune exc acc trus retir

BLOCK B Valuation of Assets

At the close of reporting period. If None, or less than \$1,001, Check the first column.

BLOCK C Type and Amount of Income

If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

| traded asset held by you, your spouse, or your dependent child, (See p. 3, | | | | OI | теск | uie | ili St t | COlui | 1111. | | | | | | • | Тур | e of | Inc | om | 1e | | | | | | Am | oui | nt o | f In | con | ne | | |
|--|-----------------------------|--------------------|---------------------|----------------------|-----------------------|-----------------------|-------------------------|---------------------|---------------------------|----------------------------|-----------------------------|-------------------|------|-----------|------|----------|---------------|--------------------------|----------------|-----------------------|----------------------------|---------------------------|-----------------|-------------------|-------------------|--------------------|---------------------|----------------------|-------------------------|---------------------|---------------------------|------------------|--|
| CONTENTS OF REPORTS Part B of Instructions) for production of income or investment which: (1) had a value exceeding \$1,000 at the close of the reporting period; and/or (2) generated over \$200 in "unearned" income during the reporting period. Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan. | None (or less than \$1,001) | \$1,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$250,000 | \$250,001 - \$500,000 | \$500,001 - \$1,000,000 | Over \$1,000,000*** | \$1,000,001 - \$5,000,000 | \$5,000,001 - \$25,000,000 | \$25,000,001 - \$50,000,000 | Over \$50,000,000 | None | Dividends | Rent | Interest | Capital Gains | Excepted Investment Fund | Excepted Trust | Qualified Blind Trust | Other (Specify Type) | None (or less than \$201) | \$201 - \$1,000 | \$1,001 - \$2,500 | \$2,501 - \$5,000 | \$5,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$1,000,000 | Over \$1,000,000*** | \$1,000,001 - \$5,000,000 | Over \$5,000,000 | Actual Amount Required if "Other" Specified |
| Example: DC, IBM Corp. (stock) | | | | Х | | | | | | | | | | х | | | | | | | Example | | х | | | | | | | | | | Example |
| ar J (S) Keystone Fund | | | | | Х | | | | | | | | | | | | | х | | | Example | X | | | | | | | | | | | Example |
| 1 S Ishares Tr. Russell Midcap Value Index | | | | | × | | | | | | | | | | | | | × | | | | | | | × | | | | | | | | |
| 2 S Ishares Tr. Russell Midcap Growth Index | | | × | | | | | | | | | | | | | | | × | | | | | × | | | | | | | | | | |
| 3 S Ishares MSCI EAFE Index Fund | | | | | × | | | | | | | | | | | | | × | | | | | | | x | | | | | | | | |
| 4 S Ishares Tr. Russell 1000 Value Index | | | | × | | | | | | | | | | | | | | × | | | | | | | × | | | | | | | | |
| 5 S Ishares Tr. Russell 1000 Growth Index | | | | | × | | | | | | | | | | | | | × | | | | | | | × | | | | | | | | |
| 6 S Ishares Tr. Dow Jones US Energy Index | | | | | × | | | | , | | | | | | | | | × | | | | | | × | | | | | | | | | |
| 7 S Ishares MSCI Emerging Markets Index | | | | | × | 7 | | | | | | | | | | | | × | | | | | | × | | | | | | 1 | | | |
| 8 S Ishares Tr. 1-3 Yr. Treas. Bond Fund | | | | × | | | | | | | | | | | | - | | × | | | | | | | × | | | | | | | | |
| 9 S Ishares Tr. Cohen & Steers Realty | | | | | × | | | | | | | | | | | | | × | | | | | | | | × | | | | | | | |
| 10 S SPDR Series Tr. DJ Small Cap Growth | | | × | | | | | | | | | i . | | | | | | × | | i e | | | × | | | | | | | | | | |

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PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Page Number

8

BLOCK A **Identity of Publicly Traded Assets And Unearned Income Sources**

Report the complete name of each publicly traded asset held by your dependent child CONTENTS OF REP Instructions) for produ investment which:

- (1) had a value exce close of the repor
- (2) generated over income during the Include on this PART identification of each fund, publicly traded p excepted investment accounts, excepted a trusts, and publicly tra retirement plan.

BLOCK B Valuation of Assets

At the close of reporting period. If None, or less than \$1,001.

BLOCK C Type and Amount of Income

If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

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| asset held by you, your spouse, or | ı | | | Ο, | | | | Joiun | | | | | | | 1 | Тур | e of | f Inc | con | ıe | | | | | | Am | uoui | nt o | f In | con | ne | | |
| ependent child, (See p.3, ENTS OF REPORTS Part B of tions) for production of income or nent which: ad a value exceeding \$1,000 at the se of the reporting period; and/or enerated over \$200 in "unearned" ome during the reporting period. on this PART IIIA a complete eation of each public bond, mutual ublicly traded partnership interest, ed investment funds, bank ts, excepted and qualified blind and publicly traded assets of a ent plan. | None (or less than \$1,001) | \$1,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$250,000 | \$250,001 - \$500,000 | \$500,001 - \$1,000,000 | Over \$1,000,000*** | \$1,000,001 - \$5,000,000 | \$5,000,001 - \$25,000,000 | \$25,000,001 - \$50,000,000 | Over \$50,000,000 | None | Dividends | Rent | Interest | Capital Gains | Excepted Investment Fund | | Qualified Blind Trust | Other (Specify Type) | None (or less than \$201) | \$201 - \$1,000 | \$1,001 - \$2,500 | \$2,501 - \$5,000 | \$5,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$1,000,000 | Over \$1,000,000*** | \$1,000,001 - \$5,000,000 | Over \$5,000,000 | Actual Amount Required if "Other" Specified |
| S, IBM Corp. (stock) | | | | х | | | | | | | | | Г | Х | | | | | | | Example | | х | | | | | | | | | | Example |
| or J (S) Keystone Fund | | | | | Х | | | | | | | | | | | | | х | | | Example | х | | | | | | | | | | | Example |
| SPDR Series Tr. DJ Wilshire Sm. Cap Value | | | | × | | | | | | | | | | | | | | × | | | | | | × | | | | 4 | | | | | |
| SPDR Series Tr. DJ Large Cap Growth | | | | | | x | | | | | | | | | | | | × | | | | | | | × | | | | | | | | ı. |
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| Vanguard Intl. Equity Index Emerging Markets | | | | × | | | | | | | | | | | | | | x | | | | | | | × | | | | | | | T | |
| Vanguard Specialized Portfolios Div. Appreciation | | | | × | | | | | | | | | | | | | | × | | | | | × | | | | | | | | | | |
| Wisdomtree Trust Total Div. Fund | | | | | × | | | | | | | | | | | | | × | | | - | | | | x | | | | | | \dashv | | |
| Ámerican Beacon Large Cap Value | | | | | x | | | 1 | | | | | | | | | | × | | | | | | × | | | | | | | | 1 | |
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| F | And Report t | BLOCK A atity of Publicly Traded Assets d Unearned Income Sources the complete name of each publicly | | | At | t the o | close one, o | BLO tion se of r or les | repor | Ass erting an \$1 | perio 1,001 | od. | | | | If " | None | or l | less inc | than Judes | \$201 s inco | 1)" is | ype and s Checked received | d Ar d, no | othe | ınt reni | try is | nee | ded | in Bl | lock i | C fo | r tha ai. | t iter | n. This |
| tı | raded a | asset held by you, your spouse, or pendent child, (See p. 3, | L | | | <u></u> | ieck | the i | irst c | Olum | nn. | | | | | | 7 | ype | e of | Inc | ome | е | | | | | | Am | oui | nt o | f In | cor | ne | | |
| ir Ir ic fu e a tr | nstruction (1) had close (2) ger incorrected codentification, put excepted accounts | NTS OF REPORTS Part B of cons) for production of income or ent which: d a value exceeding \$1,000 at the e of the reporting period; and/or nerated over \$200 in "unearned" me during the reporting period. on this PART IIIA a complete atton of each public bond, mutual blicly traded partnership interest, d investment funds, bank s, excepted and qualified blind and publicly traded assets of a | None (or less than \$1,001) | \$1,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$250,000 | \$250,001 - \$500,000 | \$500,001 - \$1,000,000 | Over \$1,000,000*** | \$1,000,001 - \$5,000,000 | \$5,000,001 - \$25,000,000 | \$25,000,001 - \$50,000,000 | Over \$50,000,000 | None | Dividends | Rent | Interest | Capital Gains | Excepted Investment Fund | Excepted Trust | Qualified Blind Trust | Other (Specify Type) | None (or less than \$201) | \$201 - \$1,000 | \$1,001 - \$2,500 | \$2,501 - \$5,000 | \$5,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$1,000,000 | Over \$1,000,000*** | \$1,000,001 - \$5,000,000 | Over \$5,000,000 | Actual Amount Required if "Other" Specified |
| E | xample: [| S, IBM Corp. (stock) | | Section 1 | | х | | | | | | | \vdash | | | x | | | \neg | | | | Example | | х | | | | | | \square | | | | Example |
| | | or J (S) Keystone Fund | | | | | Х | | | | | | | | | | | | | х | | | Example | х | | | | | | | | | | | Example |
| 1 | S | Blackrock Funds Energy and Reources | | | | × | | | | 1 | | | | | × | | | | | | | | | | | | | | | | | | Γ' | | |
| 2 | S | Buffalo Small Cap FD INC | | | | × | | | | | | | | | | | | | | x | | | | × | | | | | \prod | | | | \prod | | |
| 3 | S | Capital Income Builder | | | | | × | | | | | | | | | | | | | × | | | | | | | | × | | | | | П | | |
| 4 | S | Capital World Growth and Income CL F | | | | | × | | | | | | | | | | | | | × | 7 | | | | | | × | | | | | | П | Π | |
| 5 | s | Growth Fund America INC CL F | | | | | × | | | | | | | | | | | | | × | | | | | | × | | | | | | | \prod | | |
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| 7 | s | Harbor Small Cap Value Fund | | | | × | | | \prod | | | | | | | | | | 1 | × | 十 | | | × | | | | | | | | | \Box | | : |
| 8 | s | Harbor Cap Appreciation Fund | | | | | × | | | | | | | | | | | | | × | 9 | | | | × | | | | | | | | \prod | | |
| 9 | S | Harris Assoc Invt Oakmark Fund | | | | × | | | \prod | | | | | | | | | | | × | | 1 | | | × | | | | | | | | \bigcap | | a. |
| 10 | s | Marsico Invt Growth Fund | П | | П | | × | | П | | | 2000 | \Box | | | | | | | × | | | | | | 7 | | | | | | | 一 | \Box | |

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PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Page Number

10

BLOCK A Identity of Publicly Traded Assets And Unearned Income Sources

Report the complete name of each publicly trade your CON Instru inves

- Inclu ident fund, exce acco trusts retire

BLOCK B Valuation of Assets

At the close of reporting period. If None, or less than \$1,001,

BLOCK C Type and Amount of Income

If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

| traded against the complete name of each publicly | • | | • | Ch | eck | the f | irst c | nulos | າ,ບບ ເ ກກ. | , | | | | | | | IIIC | iuue | Sinc | UITIE | received | oi at | Ciue | tu lu | uie i | Jene | HIL OI | me | maiv | ridua | 41. | | |
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| traded asset held by you, your spouse, or | l | | | Check the first column. | | | | | | | | | | | 7 | Гурс | e of | Inc | om | е | | | | | | Am | our | nt o | f In | con | ne | _ | |
| your dependent child, (See p.3, CONTENTS OF REPORTS Part B of Instructions) for production of income or investment which: (1) had a value exceeding \$1,000 at the close of the reporting period; and/or (2) generated over \$200 in "unearned" income during the reporting period. Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan. | None (or less than \$1,001) | \$1,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$250,000 | \$250,001 - \$500,000 | \$500,001 - \$1,000,000 | Over \$1,000,000*** | \$1,000,001 - \$5,000,000 | \$5,000,001 - \$25,000,000 | \$25,000,001 - \$50,000,000 | Over \$50,000,000 | None | Dividends | | Interest | | Fund | Excepted Trust | | Other (Specify Type) | None (or less than \$201) | \$201 - \$1,000 | \$1,001 - \$2,500 | \$2,501 - \$5,000 | \$5,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$1,000,000 | Over \$1,000,000*** | \$1,000,001 - \$5,000,000 | Over \$5,000,000 | Actual Amount Required if "Other" Specified |
| S, IBM Corp. (stock) | T | | | Х | | | | | | | | | | х | | | | | 7 | 3 - 1 | Example | | Х | | \dashv | | | | | | | | Example |
| or J (S) Keystone Fund | | | İ | | х | | | , | | 100 | | | | | | | | x | | - | Example | х | | | \neg | | | | | | | | Example |
| 1 S Metro West FDS Low Duration | | | | × | | | | | | | | | | | | | | × | | | | | | | | × | | | | | | | |
| 2 S Virtus Opportunities Tr. | | | | | × | | | | | | | | | | | | | × | | | | | | × | | | | | | | | | |
| 3 S PIMCO Total Return Fund | | | | | × | | | | | | | П | | | | | | × | | | | | | | | × | | | | | | 34. | |
| 4 S PIMCO FD PAC Invt Mgmt Ser. High Yld | | | | × | | | | | | | | | - | | | | | × | | | | | | × | | | | | | | | | |
| 5 S Rydex Ser. Fds Sector Rotation CL H | | 100 | | | × | | | | | | | | × | | | | | | | | | | | 5, 1 | | | | | | | | - 1 | |
| 6 S Vanguard Fixed Income Intermed. Term Treas. | | | П | | x | | | | | | | | | | | | | | | | | | | | \dashv | × | | | \dashv | | | | |
| 7 S LPL Cash, Money Market funds (IRA) | | × | | | | | | | | | | | | | | × | | | | | | | x | | | | | | \dashv | | | | |
| 8 S Central Fund of Canada Ltd. CL A CEF (IRA) | | × | | | | | | | | | | | x | | | | | | | | | | | | | | | | | | \dashv | | |
| 9 S Ishares Tr. Cohen & Steers Realty (IRA) | | × | | | | | | | | | | | | | \dashv | | | × | | | | × | | | | | | | \dashv | | | | |
| 10 S Ishares Tr. Dow Jones US Energy Index (IRA) | | × | | | | | | | | | | | H | | \dashv | | | × | | | | × | | | | | | | | | | | |
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PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Page Numbe

11

BLOCK A Identity of Publicly Traded Assets And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, CONTENTS OF REPORTS Part B of Instructions) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or
- (2) generated over \$200 in "unearned" income during the reporting period. Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

BLOCK B Valuation of Assets

At the close of reporting period. If None, or less than \$1,001.

BLOCK C Type and Amount of Income

If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

| the complete name of each publicly | | | • | Ch | | the f | irst c | | | , | | | | | | | | | •• | ••••• | received | O. U. | JO: U | | | | | | | | | | |
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| asset held by you, your spouse, or ependent child, (See p.3, | | | | | | | | , G. G | | | | | | | 7 | Гур | e of | Inc | om | ıe | : | | | | | Am | our | nt of | f Inc | on | 1e | | |
| ENTS OF REPORTS Part B of tions) for production of income or nent which: ad a value exceeding \$1,000 at the se of the reporting period; and/or enerated over \$200 in "unearned" ome during the reporting period. | None (or less than \$1,001) | \$1,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$250,000 | \$250,001 - \$500,000 | \$500,001 - \$1,000,000 | Over \$1,000,000*** | \$1,000,001 - \$5,000,000 | \$5,000,001 - \$25,000,000 | \$25,000,001 - \$50,000,000 | Over \$50,000,000 | None | Dividends | Rent | Interest | Capital Gains | Excepted Investment Fund | Excepted Trust | Qualified Blind Trust | Other (Specify Type) | None (or less than \$201) | \$201 - \$1,000 | \$1,001 - \$2,500 | \$2,501 - \$5,000 | \$5,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$1,000,000 | Over \$1,000,000*** | \$1,000,001 - \$5,000,000 | Over \$5,000,000 | Actual Amount Required if "Other" Specified |
| S, IBM Corp. (stock) | | | | х | | | | | | | | | _ | х | | | | | | | Example | | Х | | | | | | + | | _ | | Example |
| DC, of J (S) Keystone Fund | | 47.7 | | | х | | | | | | - | | | | | | | Х | | | Example | x | | | | | | | | | | | Example |
| SPDR Series DJ Large Cap Growth (IRA) | | | × | | | 11.15.1 11.1 | | | | | | | | | | | | × | | | | × | | | | | | | | | | | |
| Alliance Bernstein Intnl. Value Fund (IRA) | | × | | | | | | | | | | | | | | | | × | | | | x | | | | | | | | 1 | | | |
| American Beacon Large Cap Value Fund (IRA) | | × | | | | | | | | | | | | | | | | × | | | | | × | | | | | | | | | | * |
| American High Inc. Tr. CL F (IRA) | | | × | | | | | | | | | | | | | | | × | | | | | x | | | | | | | | | | |
| Artisan Small Cap Fund (IRA) | | × | | | | | | | | | | | × | | | | | | | | | | | | | | | | | | | | • |
| Berwyn Fund Inc. (IRA) | | x | | | | | | | | | | | | | | | | × | | | | × | | | | | | | | | | | |
| Fundamental Invrs. Inc (IRA) | | | × | | | | | | | | | | | | | | | × | | | | | × | | | | | | | | | | |
| Harbor Capital Apprec. Fund (IRA) | | | × | | | | | | | | | | | | | | | × | | | | × | | | | | | | 5 | | | | |
| Morgan Stanley Instl. Investment Grade Fixed Inc. (IRA) | | x | | | 1 | | | | | | | | | | | | | × | | | | | × | | | | \dashv | | 5 5 6 | | | | ··· |
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PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Page Number

12

BLOCK A Identity of Publicly Traded Assets And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, CONTENTS OF REPORTS Part B of Instructions) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or
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BLOCK B Valuation of Assets

At the close of reporting period. If None, or less than \$1,001. Check the first column

BLOCK C Type and Amount of Income

If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

| asset held by you, your spouse, or ependent child, (See p.3, | | | | Ci | neck | the f | irst c | oium | nn. | | | | | | T | ур | e of | Inc | om | e | | | | | | Am | oui | nt o | f In | con | ne | | |
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| ENTS OF REPORTS Part B of tions) for production of income or nent which: ad a value exceeding \$1,000 at the se of the reporting period; and/or enerated over \$200 in "unearned" ome during the reporting period. on this PART IIIA a complete eation of each public bond, mutual ublicly traded partnership interest, ed investment funds, bank ts, excepted and qualified blind and publicly traded assets of a ent plan. | None (or less than \$1,001) | \$1,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$250,000 | \$250,001 - \$500,000 | \$500,001 - \$1,000,000 | Over \$1,000,000*** | \$1,000,001 - \$5,000,000 | \$5,000,001 - \$25,000,000 | \$25,000,001 - \$50,000,000 | Over \$50,000,000 | None | Dividends | Rent | Interest | Capital Gains | Excepted Investment Fund | Excepted Trust | Qualified Blind Trust | Other (Specify Type) | None (or less than \$201) | \$201 - \$1,000 | \$1,001 - \$2,500 | \$2,501 - \$5,000 | \$5,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$1,000,000 | Over \$1,000,000*** | \$1,000,001 - \$5,000,000 | Over \$5,000,000 | Actual Amount Required if "Other" Specified |
| S, IBM Corp. (stock) | | | T | Х | | | | | _ | | | | H | х | | | | | | | Example | | Х | | | | | | | | | | Example |
| or J (S) Keystone Fund | | | | | х | | | | | | | | Н | | | 11.00g | \neg | Х | \dashv | | Example | х | | | | 200 | | | | | | | Example |
| Rydex Ser. Fds. Sector Rotation CL H (IRA) | | × | | | | | | | | | | | × | | | | | | | | | | | | | | | | | | | | |
| Vanguard Fixed Inc. Secs. Short Term (IRA) | | × | | | | | | | | | | | | | | | | × | | | | | | × | | | | | | | | | |
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| Alexandria VA Series 2006A B/E | | | | | × | | | | | | | | | | | × | | | | | | | | | x | #1 4.1 | | 4 1 X | | | | | |
| Arlington Cnty VA Public Improvement B/E | | | | | × | | | | | | | | | | | × | | | | | | | | × | | | | | | | | | |
| Capital Region Airport Series FSA B/E | | | | | × | | | | | | | | | | | × | | | | | | | | × | | | | | | | | | |
| Chesapeake VA Ref PI CPN | | | | | × | | | | | | | | | | | × | | | | | | | | | x | | | | | | | | |
| Chesapeake VA Rfdg Water & Sewer B/E CPN | | | | | × | | | | | | | | | | | x | | | | | | | | | × | | | | | | | | 8 |
| Fairfax Cty VA Econ Dev Rev Rte 28 PJ | | | | | × | | 1 | | | \exists | | | | | | × | | | | | | | | | × | | | | | | | | |
| Fairfax Cty VA Water Auth Rev Rfdg 4% | | | | | × | | | | | 1 | | | \Box | | | X | 7 | 5 | | | | | | | × | | | | \neg | | | | |

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6 ls PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Page Number

13

BLOCK A Identity of Publicly Traded Assets And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, yo your dependent child. (See I CONTENTS OF REPORTS Instructions) for production of investment which:

- (1) had a value exceeding close of the reporting pe
- (2) generated over \$200 in income during the report Include on this PART IIIA a c identification of each public b fund, publicly traded partners excepted investment funds. accounts, excepted and qual trusts, and publicly traded as retirement plan.

BLOCK B Valuation of Assets

At the close of reporting period. If None, or less than \$1,001,

BLOCK C Type and Amount of Income

If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

| asset held by you, your spouse, or | | | | Cr | heck | the i | IISt C | Juluit | . 111. | | | | | | 7 | Гур | e of | fInc | om: | ıe | | Г | | | | Am | ioui | nt o | f Inc | con | ne | | |
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| pendent child, (See p.3, ENTS OF REPORTS Part B of tions) for production of income or nent which: ad a value exceeding \$1,000 at the se of the reporting period; and/or enerated over \$200 in "unearned" ome during the reporting period. on this PART IIIA a complete action of each public bond, mutual ublicly traded partnership interest, and investment funds, bank its, excepted and qualified blind and publicly traded assets of a ent plan. | None (or less than \$1,001) | | 1 — | \$50,001 - \$100,000 | \$100,001 - \$250,000 | \$250,001 - \$500,000 | \$500,001 - \$1,000,000 | Over \$1,000,000*** | \$1,000,001 - \$5,000,000 | \$5,000,001 - \$25,000,000 | \$25,000,001 - \$50,000,000 | Over \$50,000,000 | None | Dividends | Rent | Interest | Capital Gains | Excepted Investment Fund | Excepted Trust | Qualified Blind Trust | Other (Specify Type) | None (or less than \$201) | \$201 - \$1,000 | \$1,001 - \$2,500 | \$2,501 - \$5,000 | \$5,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$1,000,000 | Over \$1,000,000*** | \$1,000,001 - \$5,000,000 | Over \$5,000,000 | Actual Amount Require if "Other" Specified |
| S; IBM Corp. (stock) | 十 | | 十 | Х | \vdash | | $\vdash \uparrow$ | | \vdash | | \square | П | 尸 | Х | H | | | | \dashv | | Example | | х | | H | | | | | | 1 | \sqcap | Example |
| or J (S) Keystone Fund | | 1 | | | х | | | | | | | | | | | | | х | | | Example | X | | | | | | | | | \Box | \Box | Example |
| Fairfax Cty VA Water Auth Rev Rfdg 5% | | | | | x | | | | | | | | | | | x | | | | | | | | | × | | | | | | | | 1 |
| Hanover Cty VA RFDG Series | | | | | × | | П | | | | П | | | | | x | | | | | · | | | | x | | | | | | | | |
| Henrico Cty VA Public Improvement OID | | | | | × | | | | | | | | | | | × | | | | | | | | | × | | | | | | | | 4 |
| James City Cty VA Econ Dvlpmt | | | | | × | | | | | | | | | | | × | | | | | | | | | × | | | | | | | | |
| Loudon Cty VA IDA Lse Pub Fac Govt Ctr | | | × | | | | | | | | | | | | | × | | | | | | | × | | | | | | | | | | |
| Newport News VA Gen Imprt & Wtr | | | | | × | | | | | | \prod | | | | | × | | | | | | | | | × | | | e | | | | | |
| Richmond VA Met Auth Expwy | | | | | × | | \prod | | | | \prod | | | | | × | | | | | | | | | | × | | | | | | | |
| Southampton Cty VA Indl Develop Auth Rev Pub Fac | | | | × | | | | 7 | \sqcap | | | | $\ \cdot\ $ | | | × | | | | | | | | × | | | | | | | | | |
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| Reporting | Individual's | Name |
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PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Page Number

14

BLOCK A Identity of Publicly Traded Assets And Unearned Income Sources

- Inclu ident fund, exce acco trusts retire

BLOCK B Valuation of Assets

At the close of reporting period.

BLOCK C Type and Amount of Income

If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This

| Report the complete name of each publicly | | | | None, Chec | | | | | ١, | | | | | | | inc | ludes | inco | me | received | or a | crue | d to | the I | bene | fit of | the | indiv | ridua | ıl. | | |
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| traded asset held by you, your spouse, or your dependent child, (See p.3, | | | | J.160 | | mat (| Joiul | | | | | | | ٦ | Гур | e of | Inc | ome | е | | | | | | Am | our | it o | f In | con | ne | | |
| CONTENTS OF REPORTS Part B of Instructions) for production of income or investment which: (1) had a value exceeding \$1,000 at the close of the reporting period; and/or (2) generated over \$200 in "unearned" income during the reporting period. Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan. | None (or less than \$1,001) | \$1,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 \$100,001 - \$250,000 | \$250,001 - \$500,000 | \$500,001 - \$1,000,000 | Over \$1,000,000*** | \$1,000,001 - \$5,000,000 | \$5,000,001 - \$25,000,000 | \$25,000,001 - \$50,000,000 | Over \$50,000,000 | None | Dividends | Rent | Interest | Capital Gains | Excepted Investment Fund | Excepted Trust | Qualified Blind Trust | Other (Specify Type) | None (or less than \$201) | \$201 - \$1,000 | \$1,001 - \$2,500 | \$2,501 - \$5,000 | \$5,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$1,000,000 | Over \$1,000,000*** | \$1,000,001 - \$5,000,000 | Over \$5,000,000 | Actual Amoun Require if "Other" Specified |
| S, IBM Corp. (stock) | | | | x | | | | | | | | | Х | | | | | V. | | Example | | Х | | | | | | | | | | Example |
| or J (S) Keystone Fund | | | | <u> </u> | | <u> </u> | | | | _ | | Щ | | | | | х | | | Example | X | | | | | | | | - 1 (C) | | | Example |
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| 3 S Virginia Comwith Transn Brd Fed Hwy Reimb Antic Note (due 10/14) | | × | | | | | | | | | | | | | × | | | | | | | | | | × | | | | | | | |
| 4 S Virginia St Peninsula Regl Jail Authority | | | | × | | | | | | | | | | | × | | | | | | | | | × | | | | | | | | |
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| 7 S Virginia St Pub Sch Auth Sch Fing 1997 Res (8/22) | | 4.4 | | × | | | | | | | | | | | × | | | | 3.77 | | | | | × | | | | | | | | 3.2° |
| 8 S Virginia St Res Auth Clean Water | | | | × | | | | | | | | П | | | × | | | | | | | | | × | | | | | | | | |
| 9 S Virginia St Ref B/E CPN 5% (due 6/15) | | | Ž. | × | | | | | | | | | | | × | | | | | | | | | × | | | | | | | | |
| 10 S Virginia St Res Auth Infrast. Rev 4.5% | | | | × | | | | | | | | | | | × | | | * | | | | | | × | 1 E) | | | | | | | |

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PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Page Number

15

BLOCK A Identity of Publicly Traded Assets And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or vour dependent child, (See p.3, CONTENTS OF REPORTS Part B of Instructions) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or
- (2) generated over \$200 in "unearned" income during the reporting period. Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

BLOCK B Valuation of Assets

At the close of reporting period. If None, or less than \$1,001,

BLOCK C Type and Amount of Income

If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

| | omplete name of each publicly | | | " | | | | | olum | | 1 | | - 1 | | | | | 1110 | uuo | , | | 10001100 | · | | | | | | | | | | | |
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| isse | held by you, your spouse, or | l | | | , O.17 | CONT | | 131 0 | Olulli | | | | - 1 | | | T | уре | e of | Inc | om | е | | | | | | Am | our | nt of | f Inc | con | 1e | | |
| NTS ons) ent v d a v e of nera one th ation blich d inv s, ex | ent child, (See p.3, OF REPORTS Part B of for production of income or which: value exceeding \$1,000 at the the reporting period; and/or ted over \$200 in "unearned" during the reporting period. his PART IIIA a complete of each public bond, mutual y traded partnership interest, vestment funds, bank scepted and qualified blind ublicly traded assets of a | None (or less than \$1,001) | \$1,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$250,000 | \$250,001 - \$500,000 | \$500,001 - \$1,000,000 | Over \$1,000,000*** | \$1,000,001 - \$5,000,000 | \$5,000,001 - \$25,000,000 | \$25,000,001 - \$50,000,000 | Over \$50,000,000 | None | Dividends | Rent | Interest | Capital Gains | Excepted Investment Fund | Excepted Trust | Qualified Blind Trust | Other (Specify Type) | None (or less than \$201) | \$201 - \$1,000 | \$1,001 - \$2,500 | \$2,501 - \$5,000 | \$5,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$1,000,000 | Over \$1,000,000*** | \$1,000,001 - \$5,000,000 | Over \$5,000,000 | Actual Amount Require if "Other Specified |
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PART IIIB. NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Page Number

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| Asset | the | i nd e na | BLOCK A of Non-Publicly Traded Unearned Income Sources me, address (city, state and f each interest held by you, | | | At | the f No | luat close ne, o neck | ion e of r r les | epor s tha | Ass ting an \$1 | perio | od. | | | | | | | | | | | ype and | | | K C unt | of I | | | | | | | | |
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PART IV. TRANSACTIONS

Page Number

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| child | (S | ee p.3 | rchase, sale, or exchange by you, your spouse, or deper CONTENTS OF REPORTS Part B of Instructions) during | g the | | nsaci ype (: | | | | | | | | | | | | | |
| other nclud nvolv etwo | se de ving eer | curitie transa g prope n you, | od of any real property, stocks, bonds, commodity futures is when the amount of the transaction exceeded \$1,000. ctions that resulted in a loss. Do not report a transaction erty used solely as your personal residence, or a transaction your spouse, or dependent child. Please clarify which two involved in any reportable exchange. Identification of Assets | n ction | Purchase | Sale | Exchange | Transaction Date (Mo., Day, Yr.) | \$1,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$250,000 | \$250,001 - \$500,000 | \$500,001 - \$1,000,000 | Over \$1,000,000*** | \$1,000,001 - \$5,000,000 | \$5,000,001 - \$25,000,000 | \$25,000,001 - \$50,000,000 | |
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PART IV. TRANSACTIONS

Page Number

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| ct | nild (Se | any purchase, sale, or exchange by you, your spouse, or dependent see p.3 CONTENTS OF REPORTS Part B of Instructions) during the | 1 | nsact ype (: | | | | | | | | | | | | 0 | |
| ot In in be | her se clude t volving tween | g period of any real property, stocks, bonds, commodity futures, and curities when the amount of the transaction exceeded \$1,000. Itransactions that resulted in a loss. Do not report a transaction g property used solely as your personal residence, or a transaction you, your spouse, or dependent child. Please clarify which two as are involved in any reportable exchange. Identification of Assets | Purchase | Sale | Exchange | Transaction Date (Mo., Day, Yr.) | \$1,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$250,000 | \$250,001 - \$500,000 | \$500,001 - \$1,000,000 | Over \$1,000,000*** | \$1,000,001 - \$5,000,000 | \$5,000,001 - \$25,000,000 | \$25,000,001 - \$50,000,000 | Over \$50,000,000 |
| 1 A | . | S, IBM Corp. (stock) NYSE | X | 0, | | 2/1/0X | ** | X | 47 | 97 | E | X | A | M | P | | E |
| | Example | or J (DC) Microsoft (stock) NASDAQ/OTC | | X | 15/14 | 1/27/0X | - | | | Х | E | X | A | M | Р | L | E |
| 1 | S | Ishares Tr. Dow Jones US Energy Index | × | | | 5/21/09 | | | × | | | | | | | | • |
| 2 | S | SPDR Series Tr. DJ Small Cap Growth | | × | | 8/24/09 | | X | | | | | | | | | |
| 3 | S | SPDR Series Tr. DJ Large Cap Growth | X | × | | 8/24, 11/20//08 | | | | × | | | | | | | |
| 4 | s | Vanguard Specialized Portfolios Div. Appreciation | × | | | 8/24/09 | | | × | | | | | | | | |
| 5 | S | Wisdomtree Trust Total Div. Fund | × | | | 2/24/09 | | | | × | | | | | | | |
| 6 | S | American High Inc.Tr. CL F | × | | | 2/24, 5/22/09 | | | | X | | | | | | | |
| 7 | S | Blackrock Funds Energy and Resources | × | | | 8/24/09 | | | X | | | | | | | | |
| 8 | s | Buffalo Small Cap FD INC | × | | | 8/25/09 | | × | | | | | | | | | |
| 9 | s | Capital World Growth and Income CL F | × | | | 5/22/09 | | X | | | | | | | | | |
| 10 | S | Hancock John Cap Ser. Classic Value CL A | | × | | 8/25/09 | | X | | | | | | | | | - 1 - 1 |
| 11 | S | Harbor Cap Appreciation Fund | × | × | | 5/21, 8/24/09 | | × | | | | | | | | | |
| 12 | s | Hartford Fortis Ser. Fund Inc. Growth CL A | | × | | 5/21, 11/20/09 | | X | | | | | | | | | |

| Reporting | Individual's | Name |
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| | | |

PART IV. TRANSACTIONS

Page Number

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| | | i _. n | | | | | | | | | | | | | | | | | | | | | | | | | | Am | oun | t of | Tra | nsa | ctio | ı (x) | | |
|--|---|----------------------|---------|------|-------|---|------------------|----------|---------------|--------------|----------|--|--------------------|---------------------|----------------------|-----------------------|-----------------------|-------------------------|---------------------|-------------------------|----------------------------|-----------------------------|-------------------|--------|---------------------------------------|----------|---------|-----------------|----------|--------------|-------|--------|------|--------|----------|---|
| Report any purchase, sale, or exchange by you, your spouse, or dependent child (See p.3 CONTENTS OF REPORTS Part B of Instructions) during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Do not report a transaction involving property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two properties are involved in any reportable exchange. | | | | | | | | | nsac ype (| ction (x) | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | | | | | | | Purchase | Sale | Exchange | | Transaction Date (Mo., Day, Yr.) | \$1,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$250,000 | \$250,001 - \$500,000 | \$500,001 - \$1,000,000 | Over \$1,000,000*** | ,000,0001 - \$5,000,000 | \$5,000,001 - \$25,000,000 | \$25,000,001 - \$50,000,000 | Over \$50,000,000 | | | | | | | | | | | | | |
| | Identification of Assets S. IBM Corp. (stock) NYSE | | | | | | | | | S | Ш | <u> </u> | | * | | ₩ | ÷ | | | | | | * | | | | | | | | | | | | | |
| | Ex | ampl | | | ŀ | (D) | | | | | | | O/OT | | | | | | | | X | X | | - | 2/1/0X 1/27/0X | | X | | X | E | X | _ | M | P P | <u> </u> | E |
| 1 | s | | 7 | | | (DC) Microsoft (stock) NASDAQ/OTC O FD PAC Invt Mgmt Ser. High Yld | | | | | | | | | × | _^_ | | ╽. | 3/24/09 | | - | 1 | | | Ĥ | | I IVI | | <u> </u> | - | | | | | | |
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| 2 | 2 S American Beacon Large Cap Value Fund | | | | | | | | 8 | | X | | 5, | 5/21/09 | × | | | | | | | | | | | | | | | | | | | | | |
| 3 | 3 S Fundamental Invrs. Inc | | | | | | | | | | | × | | 5 | 5/22/09 | X | | | | | | | | | | | | | | | | | | | | |
| 4 | 4 S Virginia Commonwealth Trnsn Brd Fed Hwy Reimb Antic Note (redeemed) | | | | | | | | | | | × | | 10 | 10/1/09 | | | × | | | | | | | | | | | | | | | | | | |
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| | MI his | PTIO | N go | TEST | r (se | e in | struction if the | ons l | pefore | <i>mar</i> | king b | ox): | f you ently b | omitte | ed any | y asset e or de | t beca | use it r | meets to | he thre | ee-part | test for | exempt | tion o | described in the inst | truction | ons, pl | lease egorie | check | box falue, a | o the | right. | e. | | [| |